

## **Survey of ATP Applicants 2004**

## Overview

This page provides information about: *(each of these bullets will be bookmarked to the relevant section below)*

- What kinds of questions you'll be asked
- How to navigate through the survey
- When are your answers saved
- How to clear your answers
- How to print the survey and/or your responses
- The three ways to leave the survey: Exit, Timeout, and Submit
- Where you can get help if you have additional questions

### What kinds of question will you be asked?

There are six sections to the survey:

- I. Reasons for Applying to ATP
- II. Comparing Your Proposed ATP Project to a Typical R&D Project
- III. Anticipated Value From Your Proposed ATP Project
- IV. Other Characteristics of Your Proposed ATP Project
- V. Proposal Preparation and Review
- VI. Your Company's Funding for the Line of Research
- VII. About Your Company

### How to navigate through the survey

Each page of the survey has two buttons that allow you move forward and backward through the pages of the survey. They are the "Previous Page" and "Next Page" buttons. On most pages, these buttons appear at both the top and the bottom of the page. You can change your responses as often as you like, and you can revisit sections of the survey as often as you like.

### When are your answers saved?

Your answers are saved each time you move to a new page, go back to an earlier page, or exit the survey by clicking on "Save & Exit". If you click on the X in your browser window to exit the survey, your responses on the current page will not be saved. If you need to leave the survey before you have completed it, always click on the "Save & Exit" button that appears on each page of the survey.

**How to clear your answers**

Each question has a question number printed in blue to accompany it. You can click on the question number to clear your answer.

**The three ways to leave the survey: Exit, Timeout, and Submit****Exit**

You do not have to complete the survey in one sitting. If you wish to exit the survey to return at a later time, all you have to do is click on the “Save & Exit” button and all your responses will be saved. However, your survey will not be considered complete until you “submit” it (see Submit section below).

**Timeout**

After 25 minutes of inactivity (that is, you haven’t interacted with the survey in 25 minutes), you will be given a “timeout” warning. After you get this warning, you’ll have 5 minutes to resume activity or you will be timed out. If you are timed out, new or changed responses to the questions on your current page will not be saved.

**Submit**

After you have navigated through the last section of the survey, you will be taken to a Finish page. If you have left any questions blank, you will be notified of this and you will be given the opportunity to go back and fill in missing answers. If you are satisfied that you are done with the survey, you will be instructed to click on the “Submit Survey” button, and this will complete your participation. Once you have clicked on this button, your survey is considered complete and you will not be able to access the survey online again.

**How to print the survey and/or your responses**

There are two ways to print the survey and/or your responses. To print the entire survey, including any answers you might have already entered, click on the “Print” button which appears at both the top and the bottom of most pages. To print just the page you are on, please use your browser’s print button.

**Where you can get help if you have additional questions**

If you have any questions, please email Jeffrey Kerwin, the Westat study manager, at xxxxxxxx@westat.com. You can also call him toll-free at 1-888-xxx-xxxx.

*[Each section heading corresponds to a single page within the web survey]*

**SECTION HEADING: Reasons for Applying to ATP**

**For each question in the survey, mark the selection that best represents your view.**

**1. Below are several reasons why a company might apply to ATP for funding. Please tell us how important each reason was in your decision to apply to ATP:**

**1a. Internal company funding is not available.**

Extremely important .....	1
Very important .....	2
Somewhat important .....	3
Not too important.....	4

**1b. Internal company funding and commitment to the project depends on receiving external funding.**

Extremely important .....	1
Very important .....	2
Somewhat important .....	3
Not too important.....	4

**1c. ATP funding provides external validation of the technological potential of the project.**

Extremely important .....	1
Very important .....	2
Somewhat important .....	3
Not too important.....	4

**1d. ATP funding provides external validation of the commercial potential of the project.**

Extremely important .....	1
Very important .....	2
Somewhat important .....	3
Not too important.....	4

**1e. ATP funding facilitates collaboration among different organizations.**

- |                           |   |
|---------------------------|---|
| Extremely important ..... | 1 |
| Very important .....      | 2 |
| Somewhat important .....  | 3 |
| Not too important.....    | 4 |

**SECTION HEADING: Comparing Your Proposed ATP Project to a Typical R&D Project**

**We would like to know how the project you proposed to ATP compares to a typical R&D project at your company.**

**First, think about technical risk.**

**2a. For your proposed ATP project, what would you say is the probability, from 0% to 100%, that your company could achieve the minimal technical goals required for project success?**

(Try to answer based on how you thought about your project when you proposed it to ATP).

\_\_\_\_\_ %

**2b. For your proposed ATP project, what would you say is the probability, from 0% to 100%, that your company could achieve the maximal “stretch” technical goals for this project?**

(Try to answer based on how you thought about your project when you proposed it to ATP).

\_\_\_\_\_ %

**3. What would you say is the probability, from 0% to 100%, that a typical R&D project at your company could achieve all of the technical goals required for project success?**

\_\_\_\_\_ %

If your company has no other R&D projects, please check ☐ →

**Now think about expected business impact.**

- 4. Approximately how many years after the start of your proposed ATP project would you expect results to first have an impact on company revenues or costs?**

(Try to answer based on how you thought about your project when you proposed it to ATP).

\_\_\_\_\_ years

- 5. Approximately how many years after the start of the typical R&D project at your company could you expect results to first have an impact on company revenues or cost?**

\_\_\_\_\_ years

If your company has no other R&D projects, please check here ☐ →

**SECTION HEADING: Anticipated Value From Your Proposed ATP Project**

**The following items ask about the anticipated value from commercialization of your proposed ATP project technology.**

- 6. Beyond the proposed ATP project, how much additional investment would your company need to make in order to commercialize the project technology?**

\$ \_\_\_\_\_

None .....	1
Thousand .....	2
Million .....	3

7. Consider the total impact of the proposed ATP technology on your company. What would be the net effect of this technology on your company's annual revenues?

(Try to answer based on how you thought about your project when you proposed it to ATP).

- 7a. Two years after proposed project end

\$ \_\_\_\_\_  
None ..... 1  
Thousand ..... 2  
Million ..... 3

- 7b. Five years after proposed project end

\$ \_\_\_\_\_  
None ..... 1  
Thousand ..... 2  
Million ..... 3

8. What do you expect would be the gross profit margin on your company's product sales resulting from the proposed technology?

\_\_\_\_\_ %

**9. How much annual cost savings would you expect your company to receive from process improvements resulting from your proposed ATP technology?**

(Try to answer based on how you thought about your project when you proposed it to ATP).

**9a. Two years after proposed project end**

\$ \_\_\_\_\_  
None ..... 1  
Thousand ..... 2  
Million ..... 3

**9b. Five years after proposed project end**

\$ \_\_\_\_\_  
None ..... 1  
Thousand ..... 2  
Million ..... 3

**10. How much in annual royalties would you expect your company to receive from licensing your proposed ATP technology to others?**

(Try to answer based on how you thought about your project when you proposed it to ATP).

**10a. Two years after proposed project end**

\$ \_\_\_\_\_  
None ..... 1  
Thousand ..... 2  
Million ..... 3

**10b. Five years after proposed project end**

\$ \_\_\_\_\_  
None ..... 1  
Thousand ..... 2  
Million ..... 3



**11. What is your estimate of net benefits to downstream industry users or consumers that would result from your proposed ATP technology?**

**11a. Two years after proposed project end**

\$ \_\_\_\_\_  
None ..... 1  
Thousand ..... 2  
Million ..... 3  
Billion ..... 4

**11b. Five years after proposed project end**

\$ \_\_\_\_\_  
None ..... 1  
Thousand ..... 2  
Million ..... 3  
Billion ..... 4

**SECTION HEADING: Other Characteristics of Your Proposed ATP Project**

**12a. To what extent was your proposed ATP project based on research from universities?**

To a large extent ..... 1  
To a moderate extent ..... 2  
To some extent ..... 3  
Not at all ..... 4

**12b. To what extent was your proposed ATP project technology licensed from universities?**

To a large extent ..... 1  
To a moderate extent ..... 2  
To some extent ..... 3  
Not at all ..... 4

**13. To what extent would you say your proposed ATP project represented a new R&D direction for....**

**13a. Your company?**

Large extent .....	1
Moderate extent .....	2
Small extent .....	3
Not at all.....	4

**13b. Your industry or technology field?**

Large extent .....	1
Moderate extent .....	2
Small extent .....	3
Not at all.....	4

**14. When developing your proposed ATP project....**

**14a. How quickly did you expect critical research findings from this project to become known to others outside your company?**

Within 2 years of project end.....	1
2 to 5 years after project end.....	2
5 to 10 years after project end.....	3
10 or more years after project end .....	4
Never.....	5

**14b. How quickly did you expect critical research “know-how” from this project to become known to others outside your company? (Consider research “know-how” to be knowledge gained from experience and practice that is less easily communicated than findings)**

Within 2 years of project end.....	1
2 to 5 years after project end.....	2
5 to 10 years after project end.....	3
10 or more years after project end .....	4
Never.....	5

**15. In developing your ATP proposed project, to what extent did.....**

**15a. Individuals in your company form new research ties or contacts with individuals at other organizations?**

Large extent .....	1
Moderate extent .....	2
Small extent .....	3
Not at all.....	4

**15b. Your company form new research partnerships or relationships with other organizations?**

Large extent .....	1
Moderate extent .....	2
Small extent .....	3
Not at all.....	4

**15c. Your company extend or strengthen existing research relationships with other organizations?**

Large extent .....	1
Moderate extent .....	2
Small extent .....	3
Not at all.....	4

**16. For your company, how important are each of the following means of capturing value from innovation?**

**16a. Maintaining intellectual property through trade secrecy.**

Extremely important .....	1
Very important.....	2
Somewhat important .....	3
Not too important.....	4

**16b. Maintaining intellectual property through patent or copyright protection.**

Extremely important .....	1
Very important.....	2
Somewhat important .....	3
Not too important.....	4

**16c. Being first to market.**

Extremely important .....	1
Very important.....	2
Somewhat important .....	3
Not too important.....	4

**16d. Using complementary R&D capabilities.**

Extremely important .....	1
Very important.....	2
Somewhat important .....	3
Not too important.....	4

**16e. Using complementary manufacturing, distribution, or service capabilities.**

Extremely important .....	1
Very important.....	2
Somewhat important .....	3
Not too important.....	4

## **SECTION HEADING: Proposal Preparation and Review**

Now we have some questions about your experience during the proposal preparation and review process.

### **17. How useful have each the following been for you as an information source about ATP?**

#### **17a. ATP website**

Very useful.....	1
Somewhat useful.....	2
Not too useful .....	3
Not at all useful .....	4
No experience with this source .....	5

#### **17b. ATP Proposers Conference**

Very useful.....	1
Somewhat useful.....	2
Not too useful .....	3
Not at all useful .....	4
No experience with this source .....	5

#### **17c. ATP information booth at industry or trade association meetings**

Very useful.....	1
Somewhat useful.....	2
Not too useful .....	3
Not at all useful .....	4
No experience with this source .....	5

#### **17d. Industry or company colleagues**

Very useful.....	1
Somewhat useful.....	2
Not too useful .....	3
Not at all useful .....	4
No experience with this source .....	5

**17e. Interactions with ATP staff**

Very useful.....	1
Somewhat useful.....	2
Not too useful .....	3
Not at all useful .....	4
No experience with this source.....	5

**18. Please rate your level of satisfaction with the ATP Proposal Preparation Kit in terms of:**

**18a. Ease of use**

Very satisfied ..... 1  
Somewhat satisfied ..... 2  
Neither satisfied nor dissatisfied..... 3  
Somewhat dissatisfied ..... 4  
Very dissatisfied ..... 5

**18b. Clarity of content**

Very satisfied ..... 1  
Somewhat satisfied ..... 2  
Neither satisfied nor dissatisfied..... 3  
Somewhat dissatisfied ..... 4  
Very dissatisfied ..... 5

**18c. Comprehensiveness of content**

Very satisfied ..... 1  
Somewhat satisfied ..... 2  
Neither satisfied nor dissatisfied..... 3  
Somewhat dissatisfied ..... 4  
Very dissatisfied ..... 5

**19a. Did you submit your proposal electronically through ATP's Electronic Submission System (ESS)?**

Yes ..... 1  
No, but tried to do so ..... 2  
No, and did not try to ..... 3 (Go to #20)

**19b. How easy or difficult to use was the Electronic Submission System (ESS)?**

Very easy ..... 1  
Somewhat easy..... 2  
Somewhat difficult..... 3  
Very difficult..... 4

**20. Did you contact ATP staff with questions regarding your application?**

Yes ..... 1  
No..... 2  
Don't remember ..... 3

**21. How satisfied were you with the following?**

**21a. Courtesy of the staff**

Very satisfied ..... 1  
Somewhat satisfied ..... 2  
Neither satisfied nor dissatisfied..... 3  
Somewhat dissatisfied ..... 4  
Very dissatisfied ..... 5

**21b. Promptness of the service**

Very satisfied ..... 1  
Somewhat satisfied ..... 2  
Neither satisfied nor dissatisfied..... 3  
Somewhat dissatisfied ..... 4  
Very dissatisfied ..... 5

**21c. Help in resolving problems or issues**

Very satisfied ..... 1  
Somewhat satisfied ..... 2  
Neither satisfied nor dissatisfied..... 3  
Somewhat dissatisfied ..... 4  
Very dissatisfied ..... 5



**22. How many total hours of staff time did your company use in preparing your ATP proposal?**

None .....	0
Less than 40 hours .....	1
40 to less than 80 hours.....	2
80 to less than 160 hours.....	3
160 to less than 240 hours.....	4
240 to less than 320 hours.....	5
320 to less than 400 hours.....	6
400 to less than 480 hours.....	7
480 hours or more .....	8
Don't know .....	88

**23. What was the total cost to your company in preparing the ATP proposal?**

None.....	0
Less than \$5,000 .....	1
\$5,000 to less than \$10,000 .....	2
\$10,000 to less than \$15,000 .....	3
\$15,000 to less than \$20,000 .....	4
\$20,000 to less than \$30,000 .....	5
\$30,000 to less than \$40,000 .....	6
\$40,000 to less than \$50,000 .....	7
\$50,000 to less than \$75,000 .....	8
\$75,000 or more .....	9
Don't know .....	88

**24. How useful was it for your company to go through the process of preparing the ATP proposal?**

Very useful.....	1
Somewhat useful .....	2
Not too useful.....	3
Not at all useful.....	4

**25. Overall, how useful to your company was evaluative feedback you received from ATP during the review process (i.e., oral review or proposal debriefing)?**

Very useful.....	1
Somewhat useful .....	2
Not too useful.....	3
Not at all useful.....	4

**26. How did your company view the length of time to receive a decision from ATP on the project proposal?**

Much shorter than expected.....	1
Somewhat shorter than expected .....	2
About what was expected .....	3
Somewhat longer than expected .....	4
Much longer than expected.....	5

**27. To what extent do you believe the ATP review and decision process was a fair process?**

Large extent .....	1
Moderate extent .....	2
Small extent .....	3
Not at all.....	4

- 28. If you have any other comments about the ATP application and review process, please share them with us:**

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- 29. How likely is it that you will apply again for funding from ATP?**

Very likely .....	1
Somewhat likely.....	2
Somewhat unlikely .....	3
Very unlikely .....	4
Don't know .....	5

**SECTION HEADING: Your Company's Expenditures for the Line of Research**

Now we turn to questions about the amount of R&D expenditure devoted to the specific line of research represented by your proposed ATP project.

- 30. In the three years before submitting your ATP proposal, approximately how much R&D expenditure from – internal and external sources - did your company devote to this line of research?**

Your best estimate is fine.

We consider internal expenditure to be money from any part of your company and external expenditure to be money from outside of your company for specific R&D, either from government sources or other companies.

- 30a. R&D expenditure from internal sources....**

\$ _____	
None.....	1
Thousand.....	2
Million .....	3

- 30b. R&D expenditure from external sources....**

\$ _____	
None.....	1
Thousand.....	2
Million .....	3

**If your company did not devote any R&D expenditure from external sources in the three years before submitting your ATP proposal, then go #32a.**

**31. In the three years before submitting your ATP proposal, did your company receive funding from any of the following sources for this line of research?**

**31a. Federal government programs (other than ATP)**

Yes .....	1
No.....	2
Don't know .....	3

If yes, specify agency and program (e.g. NIH/SBIR)

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**31b. State or local government programs**

Yes .....	1
No.....	2
Don't know .....	3

**31c. Other companies**

Yes .....	1
No.....	2
Don't know .....	3

**32a. Is your company currently carrying out any part of the R&D project that you proposed to ATP?**

Yes ..... 1  
No..... 2 (Go to #32)

**32b. How would you describe the scale of effort of the R&D project as it is now being carried out?**

Less than 20%, ..... 1  
20% to 39% ..... 2  
40% to 59% ..... 3  
60 to 79% ..... 4  
80% or more..... 5

**32c. Since submitting the ATP proposal, has your company produced any of the following results from the R&D project as it is now being carried out? (Check all that apply.)**

Conference paper or presentation ..... 1  
New invention ..... 1  
Patent application ..... 1  
Financial results (revenues, cost savings, etc.) 1

**Now think again about the line of research represented by your proposed ATP project.**

- 33. Since submitting your ATP proposal, approximately how much R&D expenditure - from internal and external sources - has your company committed to this line of research?**

Your best estimate is fine.

We consider internal expenditure to be money from any part of your company and external expenditure to be money from outside of your company for specific R&D, either from government sources or other companies.

- 33a. R&D expenditure from internal sources....**

\$ \_\_\_\_\_  
None..... 1  
Thousand..... 2  
Million ..... 3

- 33b. R&D expenditure from external sources....**

\$ \_\_\_\_\_  
None..... 1  
Thousand..... 2

**If your company did not devote any R&D expenditure from external sources since submitting your ATP proposal, then go to #35.**

**34. Since submitting your ATP proposal, has your company committed funds originating from any of the following sources to this line of research?**

**34a. Federal government programs (other than ATP)**

Yes .....	1
No.....	2
Don't know .....	3

If yes, specify agency and program (e.g. NIH/SBIR)

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**34b. State or local government programs**

Yes .....	1
No.....	2
Don't know .....	3

**34c. Other companies**

Yes .....	1
No.....	2
Don't know .....	3



## **SECTION HEADING: About Your Company**

**Finally, we have just a few more questions about your company.**

- 35. Including full-time and part-time employees, how many employees did your company have at the end of 2004?**

None .....	1
1 to 4 .....	2
5 to 9 .....	3
10 to 24 .....	4
25 to 49 .....	5
50 to 99 .....	6
100 to 499 .....	7
500 to 1,499 .....	8
1,500 to 4,999 .....	9
5,000 to 9,999 .....	10
10,000 to 19,999 .....	11
20,000 or more.....	12
Don't know.....	88

- 36. Including full-time and part-time employees, how many employees at your company worked in R&D at the end of 2004?**

None .....	1
1 to 4 .....	2
5 to 9 .....	3
10 to 24 .....	4
25 to 49 .....	5
50 to 74 .....	6
75 to 99 .....	7
100 to 149 .....	8
150 to 199 .....	9
200 to 499 .....	10
500 to 999 .....	11
1,000 to 2,499 .....	12
2,500 or more .....	13
Don't know.....	88

- 37. Including all sources of revenue (e.g., sales, licensing, research contracts, grants, etc.), what were total company revenues for the year 2004?**

Your best estimate is fine.

\$ \_\_\_\_\_

None .....	1
Thousand.....	2
Million .....	3
Billion .....	4

- 38. What were total R&D expenditures at your company in the year 2004?**

\$ \_\_\_\_\_

None .....	1
Thousand.....	2
Million .....	3
Billion .....	4

- 39. What percentage of the year 2004 R&D expenditures at your company would you say came from external funding sources?**

\_\_\_\_\_ % External Funding

- 40. What percentage of the year 2004 R&D expenditures at your company would you say was devoted to product development, as opposed to research (either basic or applied)?**

\_\_\_\_\_ % Product Development

- 41. Do you consider your company to be a start-up company?**

Yes .....	1
No.....	2

**42. At the time of submitting your ATP proposal, did any of the following entities have an ownership stake in your company?**

**42a. Individual investors (i.e., “angel” investors)**

Yes ..... 1  
No..... 2

**42b. Venture capital**

Yes ..... 1  
No..... 2

**42c. Other companies**

Yes ..... 1  
No..... 2

**43. Since submitting your ATP proposal, did your company seek equity investment from individual investors (i.e., angel investors), venture capital, or other companies?**

Yes ..... 1  
No..... 2

**44. Since submitting your ATP proposal, did your company receive equity investment from individual investors, venture capital, or other companies?**

Yes ..... 1  
No..... 2

**45. Did you consult company records or any other people in order to answer any of the questions in this survey?**

Yes ..... 1  
No..... 2